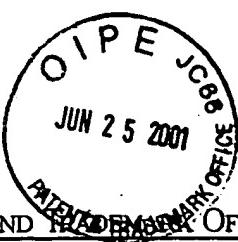




UNITED STATES PATENT AND TRADEMARK OFFICE



COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
[www.uspto.gov](http://www.uspto.gov)

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/809,025	03/16/2001	Jeffrey Lange	26859.102US01

CONFIRMATION NO. 5585

26853  
COVINGTON & BURLING  
ATTN: PATENT DOCKETING  
1201 PENNSYLVANIA AVENUE, N.W.  
WASHINGTON, DC 20004-2401

FORMALITIES LETTER



\*OC00000000510472\*

Date Mailed: 05/22/2001

**NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION**

**FILED UNDER 37 CFR 1.53(b)**

***Filing Date Granted***

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 710 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).*
- Total additional claim fee(s) for this application is \$1236.
  - \$36 for 2 total claims over 20.
  - \$1200 for 15 independent claims over 3 .
- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 2076.**

*A copy of this notice **MUST** be returned with the reply.*

*Alan*

Customer Service-Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

06/26/2001 SSITHIB1 00000102 09809025

01 FC:101	710.00	OP
02 FC:103	36.00	OP
03 FC:102	1200.00	OP
04 FC:105	130.00	OP

*SECTION  
A*



Docket No.: 026859.102-US01  
(PATENT)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of:  
Jeffrey R. Lange

Application No.: 09/809,025

Group Art Unit: 2812

Filed: March 16, 2001

Examiner: Not Yet Assigned

For: DIGITAL OPTIONS HAVING DEMAND-BASED, ADJUSTABLE RETURNS, AND TRADING EXCHANGE THEREFOR

**TRANSMITTAL LETTER**

Commissioner for Patents  
Washington, DC 20231

Dear Sir:

Enclosed are the following items for filing in connection with the above-referenced Patent Application:

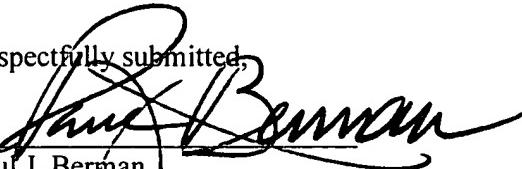
1. Response to Notice to File Missing Parts of Application (in duplicate);
2. Copy of the Notice to File Missing Parts of Nonprovisional Application;
3. Replacement Patent Application Initial Information Data Sheet;
4. Fee Transmittal;
5. Declaration for Patent Application;
6. Power of Attorney from Assignee;
7. Certificate Under 37 C.F.R. 3.73(b);
8. Preliminary Amendment;
9. Request for Corrected Official Filing Receipt;

10. Marked-up copy of original Official Filing Receipt;
11. Check No. 281223 for \$2,076 to cover: \$710 basic filing fee; \$1,236 additional claims fee; and \$130 surcharge for late filing of Declaration; and
12. Return receipt postcard.

The Commissioner is hereby authorized to charge any deficiency in the fees filed, asserted to be filed or which should have been filed herewith (or with any paper hereafter filed in this application by this firm) to our Deposit Account No. 50-0740, under Docket No. 026859.102-US01. If extensions of time under 37 C.F.R. § 1.136 other than those otherwise provided for herewith are required to prevent abandonment of the present application, then such extensions of time are hereby petitioned, and any fees therefore are hereby authorized to be charged to our Deposit Account 50-0740, referencing Docket No. 026859-102-US01. A duplicate copy of this paper is enclosed.

Dated: June 25, 2001

Respectfully submitted,

By   
Paul J. Berman

Registration No.: 36,744  
COVINGTON & BURLING  
1201 Pennsylvania Avenue, N.W.  
Washington, DC 20004-2401  
(202) 662-6000  
Attorneys for Applicant



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Jeffrey R. Lange

Appl. No.: 09/809,025

Filed: March 16, 2001

For: DIGITAL OPTIONS HAVING  
DEMAND-BASED, ADJUSTABLE  
RETURNS, AND TRADING  
EXCHANGE THEREFOR

Art Unit: 2812

Examiner: Unassigned

Attorney Docket: 026859.102-US01

**Response to Notice to File  
Missing Parts of Application**

Commissioner for Patents  
Washington, D.C. 20231  
**ATTN: Box Missing Parts**

Sir:

In response to the **Notice to File Missing Parts of Application--Filing Date Granted** dated May 22, 2001, Applicant submits the following documents for appropriate action by the U.S. Patent and Trademark Office:

- Copy of the Notice to File Missing Parts;
- Original Declaration, executed by the inventor(s);
- An original executed Power of Attorney from Assignee;
- Certificate Under 37 C.F.R. § 3.73(b) with copy of Assignment attached;
- Return postcard; and
- Our Check No. 281223 for \$2,076.00 to cover:

\$710.00 Filing Fee for Patent Application (37 C.F.R. § 1.16)

\$1,236.00 Fee for excess claims (37 C.F.R. § 1.16)

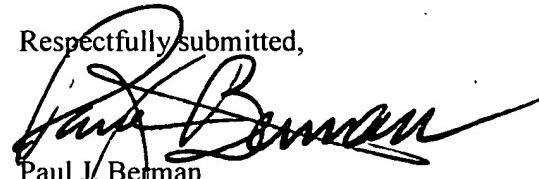
\$130.00 Surcharge for late filing of Declaration (37 C.F.R. § 1.16).

It is respectfully requested that the attached postcard be stamped with the date of filing of these documents, and that it be returned to our courier.

The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 50-0740, referencing docket number 026859.102-US01. If extensions of time under 37 C.F.R. § 1.136 other than those otherwise provided for herewith are required to prevent abandonment of the present patent application, then such extensions of time are hereby petitioned, and any fees therefor are hereby authorized to be charged to our Deposit Account No. 50-0740, referencing docket number 026859.102-US01. A duplicate copy of this Response is enclosed.

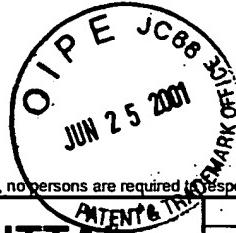
Date: June 25, 2001

Respectfully submitted,



Paul J. Berman  
Reg. No. 36,744  
COVINGTON & BURLING  
1201 Pennsylvania Avenue, N.W.  
Washington, D.C. 20004-2401  
(202) 662-6000

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.



# FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT	(\$)	2,076.00	Attorney Docket No.	026859.102-US01
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METHOD OF PAYMENT		FEE CALCULATION (continued)			
1. <input type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:		3. ADDITIONAL FEES			

Deposit Account Number	50-0740	Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
Deposit Account Name		105	130	205	65	Surcharge - late filing fee or oath	130.00
<input checked="" type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17		127	50	227	25	Surcharge - late provisional filing fee or cover sheet.	
		139	130	139	130	Non-English specification	
		147	2,520	147	2,520	For filing a request for ex parte reexamination	
		112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
		113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
		115	110	215	55	Extension for reply within first month	
		116	390	216	195	Extension for reply within second month	
		117	890	217	445	Extension for reply within third month	
		118	1,390	218	695	Extension for reply within fourth month	
		128	1,890	228	945	Extension for reply within fifth month	
		119	310	219	155	Notice of Appeal	
		120	310	220	155	Filing a brief in support of an appeal	
		121	270	221	135	Request for oral hearing	
		138	1,510	138	1,510	Petition to institute a public use proceeding	
		140	110	240	55	Petition to revive - unavoidable	
		141	1,240	241	620	Petition to revive - unintentional	
		142	1,240	242	620	Utility issue fee (or reissue)	
		143	440	243	220	Design issue fee	
		144	600	244	300	Plant issue fee	
		122	130	122	130	Petitions to the Commissioner	
		123	50	123	50	Processing fee under 37 CFR 1.17(q)	
		126	180	126	180	Submission of Information Disclosure Stmt	
		581	40	581	40	Recording each patent assignment per property (times number of properties)	
		146	710	246	355	Filing a submission after final rejection (37 CFR 1.129(a))	
		149	710	249	355	For each additional invention to be examined (37CFR 1.129(b))	
		179	710	279	355	Request for Continued Examination (RCE)	
		169	900	169	900	Request for expedited examination of a design application	

2. <input checked="" type="checkbox"/> Payment Enclosed	<input type="checkbox"/> Check	<input type="checkbox"/> Credit Card	<input type="checkbox"/> Money Order	<input type="checkbox"/> Other
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FEE CALCULATION					
1. BASIC FILING FEE					
Large Entity	Small Entity	Fee Code	Fee (\$)	Fee Description	Fee Paid
101	710	201	355	Utility filing fee	710.00
106	320	206	160	Design filing fee	
107	490	207	245	Plant filing fee	
108	710	208	355	Reissue filing fee	
114	150	214	75	Provisional filing fee	
SUBTOTAL (1) (\$)		710.00			

2. EXTRA CLAIM FEES		Extra Claims	Fee from below	Fee Paid
Total Claims	22	-*20* =	2 X 18 =	36
Independent Claims	18	-*3* =	15 X 80 =	1200
Multiple Dependent			=	

Large Entity	Small Entity	Fee Description		
Fee Code	Fee (\$)	Fee Code	Fee (\$)	
103	18	203	9	Claims in excess of 20
102	80	202	40	Independent claims in excess of 3
104	270	204	135	Multiple dependent claim, if not paid
109	80	209	40	** Reissue independent claims over original patent
110	18	210	9	** Reissue claims in excess of 20 and over original patent
SUBTOTAL (2) (\$)		1,236.00		

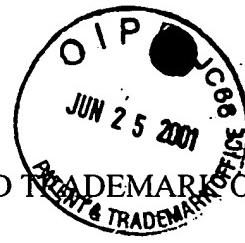
\*\*or number previously paid, if greater. For Reissues, see above

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)

130.00

SIGNED BY		Complete if applicable		
Name (print/type)	Paul J. Berman	Registration No. (Attorney/Agent)	36,744	Telephone (202) 662-6000
Signature			Date	June 25, 2001



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Jeffrey R. Lange

Appl. No. 09/809,025

Filed: March 16, 2001

For: DIGITAL OPTIONS HAVING  
DEMAND-BASED,  
ADJUSTABLE RETURNS AND  
TRADING EXCHANGE  
THEREFOR

Art Unit: 2812

Examiner: Unassigned

Atty. Docket: 026859.102-US01

**Request for Corrected Official Filing Receipt**

Commissioner for Patents  
Washington, D.C. 20231

Sir:

Applicant hereby requests that a corrected Official Filing Receipt be issued and sent to the undersigned representative. Specifically, the following corrections to the Official Filing Receipt are requested:

**Under the heading of Domestic Priority data as claimed by applicant, please amend the first priority application number to read as follows:**

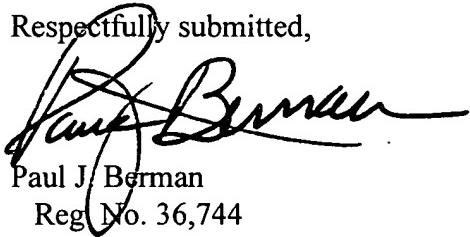
**THIS APPLICATION IS A CIP OF 09/744,816, 07/18/2000.**

In support of the above request, a photocopy of the instant Official Filing Receipt is enclosed with the corrections noted in red. It is therefore believed proper that a corrected Official Filing Receipt be issued, reflecting the correction of all the above-noted error. It is further requested that the corrected Official Filing Receipt be sent to the undersigned at the earliest possible time.

The U.S. Patent and Trademark Office is hereby authorized to charge the fee for correction, any fee deficiency, or credit any overpayment, to **Deposit Account No. 50-0740**, referencing docket number **026859.102-US01**.

Date: June 25, 2001

Respectfully submitted,

A handwritten signature in black ink, appearing to read "Paul J. Berman".

Paul J. Berman  
Reg. No. 36,744

COVINGTON & BURLING  
1201 Pennsylvania Avenue, N.W.  
Washington, D.C. 20004-2401  
(202) 662-6000

Enclosure



UNITED STATES PATENT AND TRADEMARK OFFICE

O I P E JC81  
JUN 25 2001  
U.S. PATENT & TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY.DOCKET.NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/809,025	03/16/2001	2812	0.00	26859.102US01	18	22	18

CONFIRMATION NO. 5585

26853  
COVINGTON & BURLING  
ATTN: PATENT DOCKETING  
1201 PENNSYLVANIA AVENUE, N.W.  
WASHINGTON, DC 20004-2401

FILING RECEIPT



\*OC000000006104721\*

Date Mailed: 05/22/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

**Applicant(s)**

Jeffrey Lange, New York, NY;

**Domestic Priority data as claimed by applicant** 09/744,816 07/18/2000

THIS APPLICATION IS A CIP OF 09/774,816 01/31/2001\*

WHICH IS A CIP OF 09/448,822 11/24/1999

WHICH CLAIMS BENEFIT OF 60/144,890 07/21/1999

(\*) Data inconsistent with PTO records.

**Foreign Applications**

PCT/US00/19447 07/18/2000

**If Required, Foreign Filing License Granted 05/21/2001**

**Projected Publication Date: To Be Determined - pending completion of Missing Parts**

**Non-Publication Request:** No

**Early Publication Request:** No

**Title**

Digital options having demand-based, adjustable returns, and trading exchange therefor

Preliminary Class

438

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Data entry by : LE, THANH-LAN

Team : OIPE

Date: 05/22/2001